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博 士 学 位 论 文

作为一种新管理模式的国民幸福指数

——基于价值、目标和工具三个层面的考察

**Research on Gross National Well-being as a New
Management Model: Based on the Exploration of Three
Levers from Values, Goals and Instruments**

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中文摘要

幸福是一种至善，是人类社会发展的最终归宿。自上世纪 70 年代，不丹王国提出“国民幸福指数（Gross National Happiness,GNH）”理念，作为一种替代 GDP 的新发展衡量标准，“幸福”议题正日益纳入世界各国的发展话语系统，并逐步进入国家政策视野。当前，许多国家正致力于构建新的能够有效衡量民众幸福与社会进步的指标体系，并日趋演绎为一股“新全球化（幸福）运动”风潮，其意义在于，通过更好地理解幸福的内涵，探索更好的测量方法，明确追求幸福之于社会进步的重要性，为公共政策提供指导。这就意味着，相较于如何构建完善的国民幸福指数指标体系，形成对幸福的准确测量而言，对国民幸福指数的实践应用进行探索，明确其对决策过程的影响则更具重要意义。党的十八大将科学发展观写入党章，确立为党的行动指南，习近平总书记进一步提出“实现中华民族伟大复兴的中国梦，就是要实现国家富强、民族振兴、人民幸福”。“中国梦”是人民的幸福梦，它与科学发展观都是我们这个时代不可或缺的精神法宝。国民幸福指数作为一种新的发展衡量标准，将成为“践行科学发展观，实现美丽中国梦”的有效机制，对国民幸福指数的实践应用进行探讨，也是我国政策语境中的应有之义。

本文立足国民幸福指数的实践应用对其作为一种新管理模式进行研究，并非仅仅针对国民幸福指数本身所具备的指标属性进行测量应用考察，而是基于“建构主义”的政策工具研究视角，将国民幸福指数置于宏观政策背景中，从价值、目标与工具三个层面，考察其应用的价值本源、目标规范以及工具途径，以形成对国民幸福指数实践应用的全面认知，从而探索走向国民幸福指数的新模式内涵、特征、意义与前景。

全文在提出“纳入国家政策视野的国民幸福指数应当作为一种新管理模式，促进‘民富’向‘民福’转变”的研究主题，并进行相关文献综述的基础上，确立论文的研究思路：首先，通过对“国民幸福指数”兴起的历程、背景、原因，以及中外实践应用的整体状况进行阐释，为后文分析奠定现实基础；接着，对研究所涉及的基本概念，以及理解幸福的客观清单理论、偏好满足理论、快乐论、

完善繁荣论,以及认知评价论等代表性理论途径进行阐释,并结合相应的幸福测量方法,形成对“国民幸福”内涵的清晰界定,为下文分析进行理论铺垫。以此为基础,进而基于“价值—目标—工具”三个层面的考察,形成对国民幸福指数实践应用的全面认识。具体而言:

在价值层面追本溯源,通过全面审视幸福价值观在人类思想史上的演进,对“感官之福”代表性价值观“边沁主义”视角下的“快乐主义幸福(Hedonic)”,与“智性之福”代表性价值观“亚里士多德主义”视角下的“德行幸福(Eudaimonia)”的产生、元初内涵,以及在现代社会中的演进进行全面分析,并立足两种视角下“幸福”的现代意义内涵,及其之于“幸福测量”的合理性,确立更具包容性与完整性的亚里士多德主义视角下强调人类“繁荣发展”的“完善论”幸福观,应当作为国民幸福指数应用的价值基础。这一价值基础与我国传统幸福价值观的探讨具有趋同之处,并在当前全面践行科学发展观,实现“中国梦”的政策语境中得到进一步深化。

在目标层面承前启后,立足国民幸福指数应用的价值基础,即亚里士多德主义视角下的“完善论”幸福观,分析作为国家施政目标的国民幸福所蕴含的丰富内涵,即以最有效实现公民利益为基础的“积极政府”为公民获得“可持续的幸福(Flourishing)”提供相应的心理、个人及社会方面的需要。在此基础上,进一步通过“可行能力途径(Capability Approach)”破解“不幸福增长悖论”,从而确立国民幸福指数应用的目标导向应当是,实现公民个人的“主体能动性(Agency)”,给予公民追求幸福的自由。这一目标维度在国家治理中也将有助于“善治”的达成。

在工具层面返本开新,将国民幸福指数应用的“完善论”幸福价值与实现人类繁荣发展的目标贯穿工具层面,从政策工具的属性、应用及其评价等方面对“国民幸福指数”在政策过程中的工具应用进行考察。在工具属性考察的基础上构建起以可持续性且平等的“人类幸福(Human well-being)”实现为最终目标,经济、文化、治理与生态环境中与人们幸福水平直接相关的维度因素作为外部支持性条件,并作为中间目标的国民幸福指数“通用维度框架”。通过对工具应用及其评价的考察,进一步构建起由“概念框架”、“信息框架”、“管理框架”、“控制框架”与“目标框架”所构成的国民幸福指数的工具应用模型。由此,形成对国民幸福

指数“工具应用”的全面认识。

通过对管理模式视角下的国民幸福指数进行初步勾勒,本研究进一步在制度背景、指标体系的构建与特征、应用价值与目标,以及应用方式与作用影响等方面对经济合作与发展组织“更美好的生活指数”、欧洲联盟“幸福指标体系”、不丹“国民幸福指数”、英国“国家幸福测量项目”,以及“幸福广东”指标体系的实践应用进行比较分析,发现作为一种新管理模式的国民幸福指数在具体的治理情境中能够产生政策影响力,具有一定的适应性。

最后,基于适应性考察,并结合国民幸福指数应用的“价值—目标—工具”三个层面的研究结论,本研究认为:“幸福”作为人类社会发展的终极价值理念,以此为核心的“国民幸福指数”不仅是国家发展新衡量标准中的基础测量工具,更是一种新兴的“管理模式”。纳入“政策语境”中的“国民幸福指数”以公民繁荣发展的“完善论”幸福观为价值基础,在实现公民主体能动性而享有追求幸福自由的目标指引下,以结果为导向,通过在政策过程中系统化与严格地监测与评估应用形成“循证决策模式”,进而演进为一种新“管理模式”,通过提升整体政策影响力改善决策质量,将国民幸福理念转化为具体行动措施,从而最终使民众幸福得到实质提升。由此,这种国民幸福指数的新“管理模式”,能够形成一种新的政治问责文化,并切实形成以科学发展观为基础的“全面均衡”发展路径与“以人为本”的服务型政府模式,对国家治理具有重大意义。在未来发展前景中,必将成为“新发展范式”下的重要治理工具与社会民主化进程中的新治理机制。

关键词: 国民幸福指数; 应用; 管理模式

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Abstract

“Well-being (Happiness)” is a kind of supreme good, which is the final destination of the social development of the human being. Since the 1970s, the Kingdom of Bhutan put forward the concept of “Gross National Happiness (GNH)” as a new development measurement criterion to replace GDP and then the “happiness” issue is increasingly incorporated in the discourse system for the development of countries around the world and has gradually come into the vision of the national policy. At present, many countries are trying to build a new index system able to effectively measure the people's well-being and the social progress, which is increasingly developed into a trend of “new globalization (well-being) movement”: its significance lies in the fact that, through a better understanding over the connotation of happiness, it is to explore a better method of measurement and define the importance of the pursuit of happiness for the social progress so as to provide guidance to the public policy. This means that, comparing with how to build the perfect Gross National Well-being index system, the formation of the accurate well-being measurement and the exploration over the practical application of the Gross National Well-being to define its influence on the decision-making process will be more important. The 18th CPC National Congress written the scientific development concept into the Party Constitution, which has determined the Party's action guide; meanwhile, Xi Jinping, the General Secretary, furthermore, put forward that “to realize the dream of the great rejuvenation of the Chinese nation is exactly to realize the national prosperity, the national rejuvenation, and the people's happiness”. The “Chinese Dream” is the people's dream for happiness, both of which and the scientific development concept are the indispensable spiritual magic key of our times. As a new development measurement criterion, the Gross National Well-being will become an effective mechanism to “practice the scientific development concept and realize the beautiful Chinese Dream”; meanwhile, the discussion over the practical application of the Gross National Well-being shall be included in the policy context of our country.

Based on the practical application of the Gross National Well-being, the dissertation is to study it as a new “Management Model”; specifically, the dissertation

will not only carry out measurement application observation over the index attribute held by the Gross National Well-being itself; actually, based on the “Constructivism”, a research perspective of the policy instrument, the dissertation will place the Gross National Well-being into the macro policy backgrounds and then, from three layers of value, goal and instrument, study the value source, the goal specification, and the instrument path of the application, so as to form the comprehensive cognition over of the Gross National Well-being, and thus to explore the concept, characteristics, significance and prospect of the new “management mode” towards the Gross National Well-being.

The dissertation put forward the research topic is that, the Gross National Well-being coming into the vision of the national policy shall be taken as a new management mode to promote the transformation from the ‘rich people’ to the ‘happy people’; meanwhile, upon the related literature review, establishing the research approach of the dissertation: firstly, through the illustration over the course, background & reason of the rise of the “Gross National Well-being”, as well as the overall situation of the practical application at home and abroad, it is to lay the realistic foundation for the later analysis; secondly, based on the definition over the basic concepts, and through the illustration over the paths of the “Objective list” theory, “Preferential satisfaction” theory, “Hedonic” theory, “Flourishing” theory, “Evaluative” theory, which are helpful for the understanding of well-being, and in combination with the corresponding happiness measurement method, it is to form a clear cognition to the “National Well-being” concept, so as to lay the theoretical foundation for the later analysis. Upon the foundation and further based on the three levels of observation of “values-goals-instruments”, it is to form a comprehensive understanding over the Gross National Well-being. To be specific:

The dissertation will trace to the source at the value level: through the comprehensive observation over the evolution of the happiness values in the intellectual history of humankind, by virtue of the thorough analysis over the hedonic under the perspective of “Benthamism”, which is the representative values of the emotional happiness, the happiness & its meta-connotation under the perspective of “Aristotelianism”, which is the representative values of the eudaimonia, and the evolution of the modern society, based on the modern meaning & connotation under the two perspectives and their rationality over the “happiness measurement”, the

dissertation is to establish the Aristotelianism, which holds more inclusiveness and integrity and emphasize that the “Perfectionism” happiness values of the humankind’s “prosperity and development” shall be taken as the value basis for the application of the Gross National Well-being. The basis value has the convergence with the exploration of our traditional happiness values, and in the current policy contexts that fully practice the “Scientific Outlook on Development”, and achieve “Chinese Dream” has been further deepened.

With continuity at the goal level, based on the value basis for the application of the Gross National Well-being, that is, the “Perfectionism” happiness values under the perspective of “Aristotelianism”, the dissertation is to analyze the rich connotation contained in the national happiness taken as a national policy goal, that is, the “positive government” based on the most effectively realized citizen's interests, and thus to provide the corresponding psychological, personal, and social needs for the citizens to obtain the “flourishing”. On this basis, the dissertation is to further crack the “antinomy of the increase of the unhappiness” through the “capability approach” so as to confirm that the goal orientation for the application of the Gross National Well-being shall be to realize “Agency” of the individual citizen and to endow the citizen with freedom to pursue happiness. The target dimension in national governance will also help to fulfill “good governance”.

With basis returned to open a new road at the instrument level, the “Perfectionism” happiness values and the goal to realize the prosperity & development of humankind shall be applied throughout the instrument level; specifically, the observation over the instrument application of the “Gross National Well-being” in the policy process shall be carried out from the attribute, application, and its evaluation of the policy instrument, and other aspects. Upon the observation over the instrument attribute, it is to realize the ultimate goal to construct the sustainable and equal “human well-being”; the dimensional factors of the economy, culture, governance, and ecological environment directly related to the people's happiness will be taken as the external supporting conditions, which at the same time will be taken as the “universal multi-dimensional framework” of the gross national happiness as an intermediate goal. Based on the observation over the instrument application and its evaluation, it is to further construct the instrument application model of the Gross National Well-being composed of the “conceptual framework”,

“information framework”, “management framework”, “control framework”, and “goal framework”. As a result, it will form a comprehensive understanding on the instrument application of the Gross National Well-being.

Based on the preliminary outline of Gross National Well-being from the Perspective of management mode, the dissertation is further through the construction, application value & goal, application method & effect, and other aspects of the institutional background and index system, to carry out the comparative analysis over the practical application of “better life index” for the OECD, the “Eurostat set of well-being indicators” of the EU, the “Gross National happiness” of Bhutan, and the “National Well-being Measurement Project” of the United Kingdom, and Index of “Happiness Guangdong”, found that Gross National Well-being as a new management model is capable of generating policy influence in the specific context of governance, and has certain adaptability

Finally, in combination with the conclusion of the research over the three levels of “value-goal-instrument” for the application of the Gross National Well-being, the study hold the viewpoint is that, “well-being/happiness” is the ultimate valuable concept of human social development; meanwhile, the “Gross National Well-being” taking happiness as the core shall not only be a basic measurement instrument in the new measurement criteria for the national development, but a new kind of “management model”. The “Gross National Well-being” included in the “policy context” taking the “Perfectionism” happiness values of the development and prosperity of the citizens as the value basis, under the guidance of the goal to realize the subjective initiative of the citizens and to enjoy the freedom to pursue happiness, with the result-oriented, through the systematization in the policy process and the strict monitoring and evaluation, it is to form the “Evidence-based Decision-making Model”, and further evolve it into a “New Management Mode”. Through the improvement over the overall policy influence, it is to make the decision-making quality better and transform the national happiness concept into the specific actions so as to ultimately and actually improve the national well-being. Thus, Gross National Happiness well-being as the new “Management model,” is able to construct a new political culture of accountability, and effectively develop the “Comprehensive and Balanced” Development Path on the Basis of Scientific Outlook on Development and people-oriented Service Government Mode, which is of great significance for national

governance. In the future prospects in, will become the important tools under the governance of the "new development paradigm" and the new governance mechanisms in the process of social democratization.

Key words: Gross National Well-being; Application; Management Mode

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